



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date <u>August 25, 1982</u>	1. Agency Address <u>Office of the Comptroller General Insurance Division, Regulatory Laws</u>	Application Number <u>194-A</u>	
Application Number <u>194</u>		Date Received <u>SEP 1 1982</u>	Date Completed <u>OCT 25 1982</u>
2. Person to Contact <u>Grover Anderson</u>		Working Title <u>Assistant Deputy Insurance Commissioner</u>	
		Telephone Number <u>656-2074</u>	
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <u>194</u> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest <u>1974</u> Latest <u>Present</u>		5. Records Series Title (followed by title used in office, if different) <u>Surplus Lines Affidavits</u>	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? <u>The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans of \$2,500 or less; and enforcing the State's Fire Safety Laws and Mobile Home Sales regulations.</u> <u>The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms and policy rates, and administers insurance-related laws. The Division also licenses agents and companies and investigates consumer complaints.</u>			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: <u>collecting Premium Taxes</u> Included are: <u>Surplus Lines Broker's Quarterly Affidavits for the years 1974 through 1978</u> File is arranged: <u>Alphabetically by name of Surplus Lines Broker</u>			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>Quarterly</u> Seven to twelve months old <u>Annually</u> Thirteen to twenty-four months old _____; twenty-five months and older _____?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers <u>One</u> ; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
N/A		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|-----------------|-----------------------------------|-----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | <u>7</u> years. | e. Administrative need | <u>3</u> years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☒ Hold in the current files area _____ month(s) 3 year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 4 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>James Anderson</i>	<u>8-25-82</u>	<i>Fred Anderson</i>	<u>9-1-82</u>
194A		State Records Committee (Signature)	
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	Date
		<i>Edward Weldon</i>	<u>9-14-82</u>
		Secretary of State/Designee	Date
		<i>Edward Weldon</i>	<u>9-3-82</u>
		Attorney General/Designee	Date
		<i>Edward Weldon</i>	<u>10-20-82</u>



STATE
OF
GEORGIA

Application for
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

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1. Application Date 5-26-72	INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE		
2. Agency Application No.		Date Received JUL 5 1972	Application No. 194	Date Completed JUL 6 1972
3. AGENCY, Division, Subdivision & Administering Office Address Office of Comptroller General Insurance Regulatory Laws Division Room 236, State Capitol Atlanta, Georgia		4. Person to Contact Beverly Hatcher		
		5. Working Title Steno III	6. Tel. No. 656-2074	

7. ACTION REQUESTED

☒ ESTABLISH DISPOSITION STANDARD;
RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION;
NO FURTHER ACCUMULATION ANTICIPATED.

8. Inclusive Dates 1957 - present	9. EXACT SERIES TITLE Surplus Lines Brokers' Affidavits and Quarterly Reports
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10. What is the function of the office in which this record series is created

To supervise examination of all insurance company annual statements, their applications for license; check company financial conditions, statutory deposits and valuation of their securities. Also, check for compliance of insider trading of domestic stock insurer equity securities, to maintain control of holding company operations - enforcement of company participation in the Insolvency Pool Act. Control over premium finance companies, preneed funeral operations and surplus lines companies and surplus lines brokers. Preparation of the annual report of the Insurance Commissioner to the Governor. The auditing of all insurance company tax returns.

11. DESCRIPTION OF SERIES - Include Form No. & Form Title, if any and file arrangement

GID-403, Surplus Lines Broker's Affidavit, contains name of broker, policy number, name of insurance company policy is written through, kind of insurance, name of insured, effective date of insurance and amount of premium. It also contains statement that the proper procedure for procuring surplus lines insurance has been followed by the broker. Filed alphabetically by broker.

Surplus Lines Quarterly Reports summarize all surplus lines business transactions by the broker for each quarter. The report lists names of insureds, policy numbers, amount of premium and amount of tax due. Filed with broker's affidavits, alphabetically by broker.

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers Cu. Ft. of Records			
				In Office(s)		In Storage Area(s)	
Letter-size File Drawers	2	3		3	4-1/2		
Legal-size File Drawers			Floor Space Occupied (Square Feet)	6	30		
				This Year's	Last Year's	Preceding Year's	All Prior Years
			AVERAGE DAILY REFERENCES	12	1	0	0

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? ☒ YES ☐ NO
14. Is there a duplication of this series in another office or agency? ☐ YES ☒ NO
15. Is the information contained in this series ever summarized or published? ☐ YES ☒ NO
16. Does the series contain classified information requiring security handling? ☐ YES ☒ NO
17. Does the series document policies and procedures of agency's operation or function? ☐ YES ☒ NO
18. Could the function be performed if the files were lost or destroyed? ☒ YES ☐ NO
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ YES ☒ NO
20. Does the record series provide data as input to an EDP file? ☐ YES ☒ NO
21. Does the record series contain documentation produced as EDP printout? ☐ YES ☒ NO
22. Is the series affected by Federal or grant funds? ☐ YES ☒ NO
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ YES ☒ NO

24. REQUIREMENTS. The following requires the files to be kept 3 years:

- a. ☐ STATE LAW b. ☐ STATUTE OF LIMITATION c. ☐ AUDIT PERIOD d. ☐ FEDERAL LAW e. ☒ ADMINISTRATIVE DECISION f. ☐ HISTORICAL VALUE
(Cite Law, Statute, or other reason for the retention requirement)

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - ☒ CALENDAR YEAR - ☐ FISCAL YEAR - ☐ OTHER, then:

A. ☐ Destroy immediately after cut off.

B. ☐ Hold in current files area month(s) / 1 year(s), then:

1 ☐ Destroy.

2 ☐ Transfer to records center; hold 2 year(s), then:
Destroy.

3 ☐ Destroy after audit (or year(s) after audit).

C. ☐ Hold in current files area indefinitely.

D. ☐ Hold in current files area year(s), then transfer to Archives permanently.

E. ☐ Other

(Indicate briefly rationale for recommendations above/or write additional remarks):

Attach Samples of the Series

26.

Recommendations
in Paragraph 25
are:

☐ Approved ☐ Disapproved

☐ Approved ☐ Disapproved

☒ Approved ☐ Disapproved

☒ Approved ☐ Disapproved

Records Management Officer

Fred [Signature]
Head of Agency

John [Signature]
Dept. of Audits

William [Signature]
Secretary of State

Carroll [Signature]
Dept. of Law

Harold [Signature]

Date

6-5-72

Date

6-5-72

Date

7-5-72

Date

7-5-72

Date

7-6-72